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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

`Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Application Number	10/781,804
Filing Date	March 19, 2003
First Named Inventor	Neil EKLUND et al.
Art Unit	3692
Examiner Name	Heather BEEGLE
Attorney Docket Number	52493.000363

U.S. PATENT DOCUMENTS

*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-	6278464	08-21-2001	Kohavi	
		US-	7047167	05-16-2006	Yamaguchi	
		US-	20020099929	07-25-2002	Jin	
		US-	20020065636	05-30-2002	Yamaguchi	
		US-	20030233304	12-18-2003	Dhurandhar	
		US-	20030110113	06-12-2003	Martin	
		US-	20040220837	11-04-2004	Bonissone	

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FOREIGN PATENT DOCUMENTS

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		WO	2002/075650 (abstract)	09-26-2002	Yao		☐	☐

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		Examiner Name	Heather BEEGLE
Sheet	2 of 4	Attorney Docket Number	52493.000363

OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS

*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and-or country where published	TRANSLATION YES	TRANSLATION NO
		Baglioni, S., et al., An Evolutionary Approach to Multiperiod Asset Allocation, Proceedings of Genetic Programming, (EuroGP'2000), vol. 1802, pages 225--236, Springer-Verlag, Edinburgh, 2000	☐	☐
		Loraschi, A., et al., An Evolutionary Algorithm For Portfolio Selection In A Downside Risk Framework, European Journal of Finance, 1994	☐	☐
		Kalvelagen, E., Solving Multi-Objective Models With GAMS, citeseer.nj.nec.com/article/kalvelagen02solving.html, September 20, 2002	☐	☐
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		Streichert, F., Introduction to Evolutionary Algorithms, University of Tuebingen, Presented at the Frankfurt MathFinance Workshop, April 2, 2002	☐	☐
		Korczak, et al., Evolutionary Approach to Portfolio Optimization, University of Wroclaw, Institute of Computer Science, 2001	☐	☐
		Eklund, N., Multi-objective optimization of spectra using genetic algorithms, Dept. of Decision Sciences and Engineering Systems, RPI, 2001	☐	☐
		Bodie, Z., et al., Investments, Fourth edition, Irwin/McGraw Hill, 1999	☐	☐
		DeFusco, R.A., et al., Quantitative Methods for Investment Analysis, AIMR, 2001	☐	☐
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		Back, Thomas, Evolutionary Algorithms in Theory and Practice, Oxford University Press, New York, 1996	☐	☐
		Breiman, L., et al., Classification and Regression Trees, Wadsworth International Group, Calfornia, 1984	☐	☐
		De ath, G., Multivariate Regression Trees: A new technique for modeling species-environment relationships, Ecology, pg 1105, 2001	☐	☐

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Sheet	3 of 4	Attorney Docket Number	52493.000363

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		Coello, C., et al. Evolutionary Algorithm MOP Approaches, Evolutionary Algorithms for Solving Multi-Objective Problems, pp 59-99. Kluwer Academic, 2002	☐	☐
		Goldberg, D., Genetic Algorithms in Search, Optimization, and Machine Learning, Addison-Wesley, Massachusetts, 1989	☐	☐
		Dempster, A., Upper and lower probabilities induced by a multivalued mapping, Annals of Mathematical Statistics, 38:325-339, 1976	☐	☐
		Shafer, G., A Mathematical Theory of Evidence, Princeton University Press, Princeton, New Jersey, 1967	☐	☐
		Schweizer B., et al., Associative Functions and Abstract Semi-Groups, Publicationes Mathematicae Debrecen, 10:69-81, 1963	☐	☐
		Bonissone, P., Summarizing and Propagating Uncertain Information with Triangular Norms, International Journal of Approximate Reasoning, 1(1):71-101, January 1987	☐	☐
		Winston, W., Operations Research: Applications and Algorithms, Duxbury Press, Belmont, California, 1994	☐	☐
		Goldberg, D., The Design of Innovation: Lessons from and for Competent Genetic Algorithms Kluwer Academic Publishers, Norwell, Mass., 2002	☐	☐
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		Josephson, J.R., et al. An Architecture for Exploring Large Design Spaces, Proceedings of National Conference of the American Association for Artificial Intelligence, Madison, Wis., pp. 143-150, 1998	☐	☐
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		Fong, G., A Multidimensional Framework for Risk Analysis, Financial Analysts Journal, July/August, 1997	☐	☐
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		Albanese, C., et al. Dimension Reduction in the computation of Value-at-risk, February 28, 2002	☐	☐
			☐	☐
			☐	☐
			☐	☐
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			☐	☐
			☐	☐
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